



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
(Case No. 01-1663-A)

In re Application of:

James J. Storhoff, et al.

Serial No.: 10/612,422

Filed: July 02, 2003

For: NANOPARTICLE POLYANION  
CONJUGATES AND METHODS

Group Art Unit: 1645

Examiner: TBA

Confirmation No. 6581

**TRANSMITTAL LETTER**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

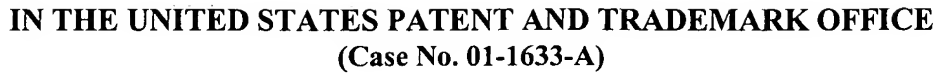
Sir:

- In regard to the above identified application.
1. We are transmitting herewith the attached:
    - a) Information Disclosure Statement
    - b) U.S. PTO 1449 Form with copies of 7 references
    - c) Return Receipt Postcard
  2. With respect to fees:
    - a) No check is attached.
    - b) **General Authorization:** Please charge any underpayment or credit any overpayment our Deposit Account, No. 13-2490.
  3. CERTIFICATE OF MAILING UNDER 37 CFR § 1.8: The undersigned hereby certifies that this Transmittal Letter and the paper, as described in paragraph 1 hereinabove, are being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on this 23rd day of January, 2004.

Date: 1/23/04

Respectfully submitted,

  
Emily Miao  
Registration No. 35,285



In re Application of:

Group Art Unit: 1645

Examiner: TBA

Confirmation No. 6581

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

In order to comply with discretionary regulations 37 CFR §§1.97 and 1.98, attached hereto is Form PTO-1449, copies<sup>1</sup> of the documents listed thereon. These documents contain information which the Examiner may consider to be important in deciding whether to allow the present application to issue as a patent.

1. Bawendi, et al., U.S. Patent No. 6,251,303 B1, issued 06/26/2001
2. Bawendi, et al., U.S. Patent No. 6,306,610 B1, issued 10/23/2001
3. Wagner, et al., U.S. Patent No. 6,365,418 B1, issued 04/02/2002
4. Abbott, et al., U.S. Patent No. 6,277,489 B1, issued 08/21/2001

1 To the extent that a document is listed and no copy of same is attached, then such document is not at the present time available  
2 to the undersigned or is available in the file of a parent application. If a listed document is not in the English language and an  
3 English translation is readily available, such translation is also attached; if translation is not attached it is not readily available to  
4 the undersigned. If a foreign language patent document is cited, and an English language equivalent is known to the  
5 undersigned, then such equivalent patent is also cited on the attached form along with the corresponding foreign language patent  
6 and a connecting arrow indicated therebetween; if no such English language equivalent is cited, then none is known to  
7 undersigned.

5. Merrill, et al., U.S. Patent No. 5,830,986, issued 11/03/1998
6. PCT Patent No. WO 01/86301 A1, issued on 11/15/2001
7. Otsuka, Hidenori, et al., "Quantitative and Reversible Lectin-Induced Association of Gold Nanoparticles Modified with a-Lactosyl-w-mercapto-poly(ethylene glycol)," *Journal of the American Chemical Society*, Vol. 123, p. 8226-8230 (2001)

In accordance with MPEP Sections 609 and 707.05(b), it is requested that each document cited (including any cited in applicant's specification which is not repeated on the attached Form PTO-1449) be given thorough consideration and that it be cited of record in the prosecution history of the present application by initialing on Form PTO-1449. Such initialing is requested even if the Examiner does not consider a cited document to be sufficiently pertinent to use in a rejection, or otherwise does not consider it to be prior art for any reason, or even if the Examiner does not believe that the guidelines for citation have been fully complied with. This is requested so that each document becomes listed on the face of the patent issuing on the present application.

The present Disclosure Statement is being submitted in compliance with 37 CFR 1.56 insofar as an Examiner might consider any of the cited documents important in deciding whether to allow the application to issue as a patent, but the citation of each document is not to be construed as an admission that such document is necessarily relevant or prior art. No representation is intended that the cited documents represent the results of a complete search, and it is anticipated that the Examiner, in the normal course of examination, will make an independent search and will determine the best prior art consistent with 37 CFR 1.104(a) and 1.106(b) and, in the course of each search, will review for relevance every document cited on the attached form even if not initialed.

Early and favorable consideration is earnestly solicited.

Respectfully submitted,

Dated: \_\_\_\_\_

1/23/04

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Facsimile: (312) 913-0002



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Emily Miao  
Registration No. 35,285

FORM PTO-1449  
(Rev. 2-32)U.S. Department of Commerce  
Patent and Trademark OfficeINFORMATION DISCLOSURE  
STATEMENT BY APPLICANT

(Use several sheets if necessary)

Atty. Docket No.

01-1633-A

Serial No.

10/612,422

Applicant:

James H. Storhoff, et al.

Filing Date:

July 02, 2003

Group:

1645

## U.S. PATENT DOCUMENTS

| Examiner Initial |    | Document Number | Date       | Name            | Class | Subclass | Filing Date if Appropriate |
|------------------|----|-----------------|------------|-----------------|-------|----------|----------------------------|
|                  | 1. | 6,251,303 B1    | 06/26/2001 | Bawendi, et al. |       |          |                            |
|                  | 2. | 6,306,610 B1    | 10/23/2001 | Bawendi, et al. |       |          |                            |
|                  | 3. | 6,365,418 B1    | 04/02/2002 | Wagner, et al.  |       |          |                            |
|                  | 4. | 6,277,489 B1    | 08/21/2001 | Abbott, et al.  |       |          |                            |
|                  | 5. | 5,830,986       | 11/03/1998 | Merrill, et al. |       |          |                            |
|                  |    |                 |            |                 |       |          |                            |
|                  |    |                 |            |                 |       |          |                            |

## FOREIGN PATENT DOCUMENTS

|  |    | Document Number | Date       | Country | Class | Subclass | Translation Yes | No |
|--|----|-----------------|------------|---------|-------|----------|-----------------|----|
|  | 6. | WO 01/86301 A1  | 11/15/2001 | PCT     |       |          |                 |    |

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc).

|  |    |  |
|--|----|--|
|  | 7. | Otsuka, Hidenori, et al, "Quantitative and Reversible Lectin-Induced Association of Gold Nanoparticles Modified with a-Lactosyl-w-mercapto-poly(ethylene glycol)," <i>Journal of the American Chemical Society</i> , Volume 123, p. 8226-8230 (2001) |
|  |    |  |
|  |    |  |
|  |    |  |

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.